

APR 28 2011

PTO/SB/21 (08-00)

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

| | |
|--|-------------------------------------|
| Application Number | 09/334,646 |
| Filing Date | June 17, 1999 |
| First Named Inventor | Shunpei YAMAZAKI et al. |
| Group Art Unit | 2811 |
| Examiner Name | S. Hu |
| Total Number of Pages in This Submission | Attorney Docket Number 0756-1984 |

ENCLOSURES (check all that apply)

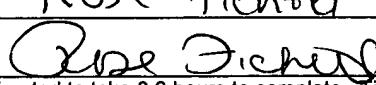
| | | |
|---|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosures 1. 2. 3. 4. 5. 6. |
| | Remarks | <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 50-2280 for the above identified docket number. |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

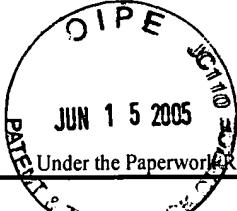
| | |
|-------------------------------|--|
| Firm or Individual name | Eric J. Robinson, Reg. No. 38,285 Robinson Intellectual Property Law Office, P.C. PMB 955 21010 Southbank Street Potomac Falls, VA 20165 |
| Signature |  |
| Date | 6/10/05 |

CERTIFICATE OF MAILING

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|----------------------|---|------|---------|
| Type or printed name | Rose Fichtel | | |
| Signature |  | Date | 6/10/05 |

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FEE TRANSMITTAL FOR FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$ 180.00)

Complete if Known

| | |
|----------------------|-------------------------|
| Application Number | 09/334,646 |
| Filing Date | June 17, 1999 |
| First Named Inventor | Shunpei YAMAZAKI et al. |
| Examiner Name | S. Hu |
| Group Art Unit | 2811 |
| Attorney Docket No. | 0756-1984 |

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number
50-2280Deposit Account Name
Robinson Intellectual Property Law Office

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 and credit overpayments

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit Card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|--|-----------------------|-----------------------------|----------|
| 1001 | 300 | 2001 150 Utility filing fee | |
| 1111 | 500 | 2111 250 Search fee | |
| 1311 | 200 | 2311 275 Examination fee | |
| Over 100 Sheets/250 for each additional 50 | | | |

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

| | | Fee from below | Fee Paid |
|--------------------|------|---|----------|
| Total Claims | 20** | = <input type="text"/> X \$50 = <input type="text"/> | |
| Independent Claims | 3** | = <input type="text"/> X \$200 = <input type="text"/> | |
| Multiple Dependent | | = <input type="text"/> | |

| Large Entity Fee Code | Small Entity Fee Code | Fee Description |
|-----------------------|-----------------------|--|
| 1202 | 50 | 2202 25 Claims in excess of 20 |
| 1201 | 200 | 2201 100 Independent claims in excess of 3 |
| 1203 | 360 | 2203 180 Multiple dependent claim, if not paid |
| 1204 | 200 | 2204 100 ** Reissue independent claims over original patent |
| 1205 | 50 | 2205 25 ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

| Fee Description | Fee Code | Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Paid |
|--|----------|-----------------------|-----------------------|----------|
| Surcharge - late filing fee or oath | 1051 | 130 | 2051 65 | |
| Surcharge - late provisional filing fee or cover sheet | 1052 | 50 | 2052 25 | |
| Non-English specification | 1053 | 130 | 1053 130 | |
| For filing a request for <i>ex parte</i> reexamination | 1812 | 2,520 | 1812 2,520 | |
| Requesting publication of SIR prior to Examiner action | 1804 | 920* | 1804 920* | |
| Requesting publication of SIR after Examiner action | 1805 | 1,840* | 1805 1,840* | |
| Extension for reply within first month | 1251 | 120 | 2251 60 | |
| Extension for reply within second month | 1252 | 450 | 2252 225 | |
| Extension for reply within third month | 1253 | 1020 | 2253 510 | |
| Extension for reply within fourth month | 1254 | 1,590 | 2254 795 | |
| Extension for reply within fifth month | 1255 | 2,160 | 2255 1080 | |
| Notice of Appeal | 1401 | 500 | 2401 250 | |
| Filing a brief in support of an appeal | 1402 | 500 | 2402 250 | |
| Request for oral hearing | 1403 | 1000 | 2403 500 | |
| Petition to institute a public use proceeding | 1451 | 1,510 | 1451 1,510 | |
| Petition to revive - unavoidable | 1452 | 500 | 2452 250 | |
| Petition to revive - unintentional | 1453 | 1,500 | 2453 750 | |
| Utility issue fee (or reissue) | 1501 | 1,400 | 2501 700 | |
| Design issue fee | 1502 | 800 | 2502 400 | |
| Plant issue fee | 1503 | 1100 | 2503 550 | |
| Petitions, Group I | 1462 | 400 | 1462 400 | |
| Petition, Group II | 1463 | 200 | 1463 200 | |
| Petitions, Group III | 1464 | 130 | 1464 130 | |
| Processing fee under 37 CR 1.17(q) | 1807 | 50 | 1807 50 | |
| Submission of Information Disclosure Stmt | 1806 | 180 | 1806 180 | \$180.00 |
| Recording each patent assignment per property (times number of properties) | 8021 | 40 | 8021 40 | |
| Filing a submission after final rejection (37 CFR § 1.129(a)) | 1809 | 790 | 2809 395 | |
| For each additional invention to be examined (37 CFR § 1.29(b)) | 1810 | 790 | 2810 395 | |
| Request for Continued Examination (RCE) | 1801 | 790 | 2801 395 | |
| Request for expedited examination of a design application | 1802 | 900 | 1802 900 | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 180.00)

CERTIFICATE OF MAILING
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** or number previously paid, if greater; For Reissues, see above

SUBMITTED BY

Complete (if applicable)

| | | | | | |
|-------------------|------------------|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Eric J. Robinson | Registration No. (Attorney/Agent) | 38,285 | Telephone | (571) 434-6789 |
| Signature | | | | Date | June 9, 2004 |



Attorney Docket No. 0756-1984

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:) Group Art Unit: 2811
Shunpei YAMAZAKI et al.) Examiner: S. Hu
Serial No. 09/334,646)
Filed: June 17, 1999)
For: SEMICONDUCTOR DEVICE AND)
FABRICATION METHOD THEREOF)
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Mail in an envelope addressed to:
Commissioner for Patents, P.O. Box 1450,
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Rose Dichter

INFORMATION DISCLOSURE STATEMENT

Honorable Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. 1.56 and 37 C.F.R. 1.97-1.99, Applicant submits herewith a Form PTO-1449 listing information known to Applicant and requests that this information be made of record in the above identified application. Copies are submitted herewith in accordance with 37 C.F.R. 1.98(a).

Except as provided below, in accordance with 37 C.F.R. § 1.97(e), it is certified that either (1) each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement, or (2) no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application and no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this information disclosure statement.

JP 02-140915, JP 06-029320 and JP 06-037112 were cited in a counterpart Japanese patent application No. 06-218077 by the Japanese Patent Office on May 10,

2005.U.S. Patent No. 5,382,537 is in the family of JP 06-029320. This U.S. patent was not directly cited by the Japanese Patent Office, but is submitted herewith for consideration by the Examiner.

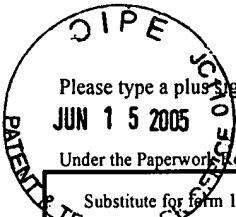
A check in the amount of \$180 is being submitted to comply with the provisions of 37 C.F.R. § 1.97(c).

The Commissioner is hereby authorized to charge fees under 37 C.F.R. §§1.16, 1.17, 1.20(a), 1.20(b), 1.20(c), and 1.20(d) (except the Issue Fee) which may be required now or hereafter, or credit any overpayment to Deposit Account No. 50-2280. A duplicate copy of this sheet is attached.

Respectfully submitted,


Eric J. Robinson
Reg. No. 38,285

Robinson Intellectual Property Law Office, P.C.
PMB 955
21010 Southbank Street
Potomac Falls, Virginia 20165
(571) 434-6789



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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

| | | | | | |
|--|---|----|---|---------------------------------|-------------------------|
| <p>Substitute for Form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(use as many sheets as necessary)</i></p> | | | | <p>Complete if Known</p> | |
| | | | | Application Number | 09/334,646 |
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| | | | | Group Art Unit | 2811 |
| | | | | Examiner Name | S. Hu |
| Sheet | 1 | of | 1 | Attorney Docket Number | 0756-1984 |

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

| FOREIGN PATENT DOCUMENTS | | | | | | | |
|--------------------------------|-----------------------|-------------------------|-----------------------------------|---|---|---|----------------|
| Examiner Initials ¹ | Cite No. ¹ | Foreign Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁴ |
| | | Office ³ | Number ⁴ (if known) | | | | |
| | JP | 02-140915 | | | 05/30/1990 | | Full |
| | JP | 06-029320 | | | 02/04/1994 | | Abst. |
| | JP | 06-037112 | | | 02/10/1994 | | Abst. |

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| OTHER PRIOR ART - NON-PATENT LITERATURE DOCUMENTS | | | |
|---|-----------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | | | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

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